NC DEPARTMENT OF PUBLIC INSTRUCTION

Race to the Top

Monitoring Plan

Revised 2/5/2013

This document outlines the Race to the Top Monitoring Plan and includes details for the program monitoring process and the fiscal monitoring process.

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Section 1. Overview

During the 2010-11 school year the North Carolina Department of Public Instruction (NCDPI) approved initial Race to the Top (RttT) Detailed Scopes of Work (DSW) submitted by 115 local educational agencies and 33 charter schools. Each of these148 total entities (sub-recipients) thus became eligible to receive RttT funds. This document contains NCDPI's written plan for how it will monitor the sub-recipients' use of those funds to ensure that the sub-recipients comply with RttT grant requirements and any related applicable State and federal laws and regulations.

NCDPI will use two distinct, but equally important processes to monitor sub-recipients' programmatic and fiscal compliance. These processes are, respectively, Program Monitoring and Fiscal Monitoring. NCDPI will operate the two processes in parallel, and will coordinate among the two processes, as needed. In addition, the NCDPI will collaborate with the Office of State Budget and Management's Internal Audit Office.

The remainder of this document describes the Program and Fiscal Monitoring processes. The appendices include illustrative examples of the monitoring protocols and schedule for monitoring that are still in development.

Section 2. Program Monitoring

2.1. Program Monitoring Guiding Principles

The goal of the RttT Sub-Recipient Program Monitoring effort is to ensure that sub-recipients' use of RttT funds to implement aspects of their RttT DSW complies with the RttT grant requirements and any related applicable State and federal laws and regulations. The Program Monitoring effort is separate and distinct (although connected through the RttT Project Management Office) from other varied support and technical assistance NCDPI provides to sub-recipients that is focused on quality of reform plans and implementation.

The RttT Sub-Recipient Program Monitoring effort is designed to impose as little administrative burden as possible on sub-recipients, while accomplishing each of the following:

- Supporting coherent, thoughtful reform and helping to resolve barriers to implementation
- Supporting achievement of RttT State and local targeted outcomes
- Focusing on continuous improvement and mutual problem solving and accountability
- Addressing both federal and State-specific requirements and processes

2.2. Program Monitoring Process Components

The Program Monitoring process is composed of three different components. Ranging from least to most time- and staff-intensive, these components are:

- Progress Report
- Technical Assistance (remote and/or on-site)

- Formal On-Site Visits

This multi-component monitoring approach is based on the Cross Program Consolidated Monitoring (CPCM) framework that NCDPI uses to monitor Title I A, Title I C (Migrant Education Program), Title I D (Neglected and Delinquent), Title IV A (SADF) and Title VI (RLIS [Rural Low-Income Schools Program] /SRSA [Small Rural School Achievement Program]) and the recipients of the School Improvement Grants (SIGs).

Each RttT sub-recipient will complete a Progress Report for each year of the RttT grant period. Sub-recipients will receive Technical Assistance only as needed. Only those sub-recipients judged to be at highest risk of not complying with RttT program requirements will receive a Formal On-Site Visit. The three components of program monitoring are described in further detail below.

Progress Report. Each sub-recipient will be required to submit to NCDPI by August 3, 2011, and annually thereafter, a standardized progress report (see Appendix B for sample progress report) documenting the degree to which the sub-recipient has successfully implemented the activities scheduled in its DSW for the prior State fiscal year. NCDPI staff will review each progress report and use information gathered through this review and other agency interactions with the sub-recipient to determine whether additional, more focused monitoring is required. For each year of the RttT grant, beginning in 2011-12, NCDPI will then establish a schedule (see Appendix C for sample schedule) for additional monitoring of selected sub-recipients. This additional monitoring will take the form of Technical Assistance and Formal On-Site Visits.

Technical Assistance. In situations where NCDPI program monitoring staff determine that a Progress Report is not complete or lacks sufficient evidence to substantiate the sub-recipient's completion of an activity or activities listed in the DSW, the monitoring staff will provide follow up with the sub-recipient either remotely or face-to-face to assist them in meeting RttT requirements. This technical assistance will enable NCDPI monitors to gain further insight into the nature and quality of the sub-recipient's implementation and offer guidance on how to meet requirements. In most cases, this follow-up activity will help the sub-recipient resolve any issues raised by the initially submitted Progress Report. In select cases where the review of the Progress Report and subsequent technical assistance reveals major concerns about a sub-recipient's implementation, the NCDPI staff will then conduct a Formal On-Site Visit.

Formal On-Site Visit. Whereas most sub-recipients may receive Technical Assistance remotely or on-site as circumstances allow, sub-recipients whose Progress Reports indicate potentially major problems with implementation must receive a Formal On-Site Visit. The most time and staff-intensive component of monitoring, these visits will involve a formal on-site review of the sub-recipient's implementation by their assigned Regional Lead, plus any additional DPI staff as warranted. These personnel, if needed, would be chosen based upon specific areas of concern in the sub-recipient DSW and could include personnel from Federal program Monitoring, District and School Transformation, Exceptional Children, Educator Recruitment and Development, Digital Teaching and Learning, and/or Career and Technical Education. If needed, a joint Program/Fiscal site-visit (see section 3.3.2) would also include staff from Finance and Business Services. The On-Site Visit will include documentation review and interviews with appropriate sub-recipient personnel. NCDPI will provide a visited sub-recipient with a written report of findings within 30 business days. NCDPI will then follow-up to ensure that the sub-recipient takes action to remedy issues addressed in the report.

2.3. Program Monitoring Process Flow

The *RttT Program and Financial Monitoring Plan* chart, located in Appendix A, illustrates the process described above in section 2.1. The chart demonstrates how NCDPI will use information from a sub-recipient's Detailed Scope of Work (DSW), budget, and progress report; and other pertinent information regarding the sub-recipient (example – input from DPI Regional Leads) to determine which of the sub-recipients appear to require additional monitoring to ensure that they are complying with RttT guidelines. We anticipate modifying the factors used in the screening process over time based on lessons learned through implementation. NCDPI is developing a "collaborative monitoring site" on the agency's Intranet to document and share information across the various NCDPI teams (Finance and Business Services, Title I, et al.) that will interact to provide the different elements of the monitoring program.

Section 3. Fiscal Monitoring

3.1. Fiscal Review Principles

The goal of the RttT Sub-Recipient Fiscal Monitoring effort is to ensure that sub-recipients' use of RttT funds to implement aspects of their RttT DSW complies with the Race to the Top (RttT) grant requirements and any related applicable State and federal laws and regulations. Two critical compliance criteria are:

- Basic Federal Fiscal Compliance issues (monitoring tool)
- ARRA-specific requirements (NC Office of Economic Recovery &Investment; OER)

3.2. Federal ARRA Compliance Issues

3.2.1. Basic Federal Fiscal Compliance Issues

Federal funds allotted to the NC Department of Public Instruction are governed by federal statutes, regulations, circulars, and guidance. In addition to program regulations, the Education Department General Administrative Regulations (EDGAR) contains basic compliance categories, including such topics as standards for financial management systems, financial administration, reporting, record retention and other topics. See link for further details: http://www2.ed.gov/policy/fund/reg/edgarReg/edgar.pdf.

Specific use of funds is governed by federal cost principles, most notably the Office of Management and Budget (OMB) Circular A-87 for State and Local Governments. This circular includes basic guidelines for allowable costs, as well as further information on forty-three selected items of cost. As noted in the following link: http://www.whitehouse.gov/sites/default/files/omb/assets/agencyinformation_circulars_pdf/a87_2004.pdf.

The use of Race to the Top funds in North Carolina must be consistent with the documents described above, as well as the State's approved program application and the federal race to the top grantee guidelines. Including but not limited to the http://www2.ed.gov/programs/racetothetop/faq-grantee.pdf, pertaining to allowable costs,

funding allocations, and transparency. The compliance monitoring process is described in more detail in the following sections of this document.

3.2.2. ARRA-Specific Requirements

The North Carolina Recovery Office, also known as the Office of Economic Recovery and Investment (OERI), has issued several Management Directives intended to guide the use of Recovery Act funds in North Carolina. In general, the OERI directives are intended to assure that expenditure of Recovery Act funds comply with the basic tenets of transparency and competition.

Management Directive #3 has the most direct impact on school districts and charter schools in the use of ARRA and Race to the Top funds. Directive #3 contains instructions regarding procurement of goods and services, employment of personnel, and compliance with other provisions of the Recovery Act, such as Davis-Bacon (for construction projects) and Buy America provisions.

OERI's Management Directives can be found at https://www.ncrecovery.gov/Compliance/OERIDirectives.aspx.

3.3. Fiscal Monitoring Process Components

NCDPI will include the following monitoring components in its approach to fiscal monitoring.

- Budget (BUD) Process and Alignment with Approved District Scope of Work
- On-site Compliance Monitoring
- Desk Monitoring of Budget vs. Expenditures
- Cash Management Monitoring Process
- Monitoring via Existing Systems

3.3.1. Budget (BUD) Process and Alignment with Approved District Detailed Scope of Work

Participating LEAs and Charter Schools submitted Detailed Scopes of Work (DSW) outlining the initiatives that their Race to the Top funds would support. The approved DSWs are located on DPI's website at http://www.ncpublicschools.org/rttt/lea-charter/

Staff members of the Division of School Business Services review LEA/Charter budgets in the Budget Utilization and Development System (BUD) for alignment with the approved or amended DSW. Disagreement between the budget and DSW require amendment of one or both of these documents. Once the budget agrees with the DSW, it is approved and the LEA/Charter is notified.

3.3.2. On-site Compliance Monitoring

On-site fiscal monitoring consists of reviewing Federal fiscal compliance requirements contained in EDGAR and applicable OMB circulars as referenced under the Basic Federal Fiscal Compliance issues section and the ARRA specific Requirements sections. On-site compliance

will be implemented in two phases there will be a regular schedule and others will be triggered by risk factors, or as a result of desk monitoring irregularities. Areas monitored include time and effort documentation for grant-funded positions, budget vs. expenditures, tracking records for equipment purchased with program funds, invoices for contracted services, and internal control procedures. Compliance with additional requirements contained in the OERI Management Directives is reviewed during on-site monitoring as well.

An on-site monitoring checklist (located on the website at http://www.ncpublicschools.org/fbs/finance/federal/) is utilized to guide the monitor's review. Written reports are submitted within 30 business days of the on-site visit, and responses to the written report, if needed, are requested within 30 additional business days of receipt of the report.

3.3.3. Desk Monitoring of Budget vs. Expenditures

The Monitoring & Compliance section reviews a budget vs. expenditures report (generated by BUD in the 305/705 reports) to assure that sub-recipients are spending RttT funds in agreement with their approved budget. Direct contact is made with any sub-recipients whose overspent lines total more than 10% of the approved budget, to request that an amendment be made to bring them in line with the standards in EDGAR 80.30. Monitoring and Compliance will also review BUD and expenditures to ensure sub-recipients' expenditures align with BUD submissions. Direct contact is made with sub-recipients whose expenditures are not in line with BUD submissions.

Desk reviews are conducted throughout the year, according to a schedule prepared at the beginning of each year. The five sub-recipients who received the largest amount of RttT funding are selected for monthly review, and an additional five sub-recipients are selected for monthly review based on risk factors (single audit findings, turnover of key staff persons, etc.). The remaining sub-recipients will be reviewed randomly throughout the year, with each sub recipient's information reviewed at least once during the year. An Excel spreadsheet tracks the frequency and results of the desk reviews. Sub-recipients selected will be subject to a limited scope review; a sample of contracts exceeding the bid threshold and/ or a material significant amount. Monitors will also be reviewing items deemed to be individually significant based upon the RttT dollars allotted and other factors. Compliance with requirements contained in the OERI Management Directives will be reviewed, particularly Directives #3, #3A, and #3B.

3.3.4. Cash Management Monitoring Process

DPI utilizes a zero-out process to prevent sub-recipients from keeping cash on hand above the amount of reported expenditures. Each month their federal fund balances are compared against expenditures reported. If there is an excess of cash above expenditures, the cash balance is returned to DPI. If more expenditures have been reported than cash requested, the sub recipient receives cash to cover the expenditures up to the period's authorized funding limit. In this way, cash balances are kept to a minimum. The Department of Instruction also has developed a reporting tool which provides detail of LEA daily federal deposit, disbursement and cash balance activity. This tool reflects the draw request and disbursement patterns of LEAs for a specific grant. This data will be also used to monitor the LEAs' compliance with cash management policies.

3.4 Monitoring via Existing Systems

DPI monitoring of expenditures involves the use of several established processes, systems and reports within DPI. These systems and reports are described below:

UERS: The acronym for the Uniform Education Reporting System. It is the legislated required accounting system specifications and processes designed to help ensure standard, accurate, reporting of accounting activity by the school systems in order to maintain uniform reporting of the use of various funds to the state.

Uniform Chart of Accounts: All LEAs and charter schools are required to use the Uniform Chart of Accounts. This chart is administered and controlled at the State level. When a new grant or program is funded by the State or federal government, the initial chart is created, conferring with the program staff to ensure that only allowable expenditures are included in the chart. LEAs may request additions to the chart after the initial set up. These requests are made in writing and are only added at the approval of the DPI financial and program staff.

Financial Data Collection: On a monthly basis, each LEA is required to submit all financial data in a required file layout. The financial data include all expenditures from state, federal and local accounts, detail of all checks written and all payroll records by social security number. All LEA financial data are run through a series of UERS edits to determine if the data are in compliance with accounting specifications. After the data have passed the UERS edits, they are validated against our Uniform Chart of Accounts to determine which expenditures, if any, have been coded to account codes that are unallowable or invalid. A monitoring letter is provided electronically to the LEAs listing all the invalid codes. LEAs are required to correct all errors.

Salary Audit: A large percentage of education funds are expended on certified personnel (principals, teachers and instructional support). In order to ensure that personnel expenditures are appropriate, DPI audits all salary coded to certified personnel. All monthly payroll detail is loaded in to a Salary/Licensure database at DPI. This system audits combines the salary paid, the license of individuals and the chart of accounts. The audit process ensures the following:

- The person coded from the grant is certified in the appropriate license area (e.g., teacher coded from IDEA funds has a valid license in Exceptional children teaching area).

- The salary paid from the fund is allowable according to State law.

- Only persons with specific license areas can be paid from certain budget codes.

All LEAs have access to the audit exception list via a web application. DPI has two salary audit personnel to consult with LEAs and monitor the exceptions. All audit exceptions must be cleared.

Communication and Reports Back to the LEAs: A monitoring letter is provided electronically to the LEAs listing all the invalid codes. LEAs are required to correct all errors.

The following monthly reports are made available to the LEAs via secure server:

Budget Balance Report (JHA305EG): This is the primary report used to reconcile expenditures which have been posted for the Federal Funds (by grant) for each LEA. The report shows the most recent total budget amount for the year, current month expenditures, current month adjustments and refunds, year-to-date expenditures, and remaining budget balance. If the expenditures do not have a corresponding budget, then the LEA will need to complete a budget amendment through the BUD system and the Program section to correct this.

Cash Balance Report (JHA314EG): This is the primary report used to reconcile the cash certifications which have posted for the Federal Funds. It is in two parts; year-to-date figures (R01), and monthly figures (R03). This report shows the beginning of the fiscal year cash balance, the certifications recorded, the cash expenditures recorded, and the ending calculated cash balance. It also shows the amount of dollars still available (Authority to Draw) to be requested for the program report code (PRC).

Federal Cash Zero-out Report (JHA903EG): This report is used to notify the LEA of the amount of the monthly cash zero-out for the Federal funds, by program. It is a summary report by PRC.

Monthly Financial Reports:
DBS/MFR Match Report (JHA899EG): This report shows the comparison month-to-date and year-to-date between the DBS/MSA data (data file) and the MFR data (LEA general ledger). Any differences on this report should be reconciled monthly.

MFR Error Messages Issued Report (PGA10RP4-E): This report provides all errors that must be corrected (in all funds).

MFR Verification Messages Issued Report (PGA10RP4-V): This report notifies the LEA of unusual transactions/conditions. Items on this report do not have to be corrected if they are valid transactions. If they are not valid transactions, then the LEA only needs to correct its general ledger. It is not necessary to notify DPI of these corrections.

MFR Revenue & Expenditure Summary Report (PGA10RP5): This report is grouped by PRC. It shows all revenue and expenditure codes categorized by Fund: State, Federal, and Local. Each fund shows Total Revenues, Total Expenditures, and any Difference. Revenues and Expenditures should equal for State and Federal funds.

Section 4. Office of State Budget and Management's (OSBM) Internal Audit Office Efforts

4.1 Internal Audit Guiding Principles

The goal of the Office of State Budget and Management's Internal Audit Office (OIA) is to provide an independent assessment of the use of RttT funds. In conducting all engagements, the OIA will follow the audit standards published in the *Institute of Internal Auditor's International Professional Practices Framework*. Engagements will be conducted to determine compliance with the RttT grant requirements, Office of Economic Recovery and Investment directives and State and Federal laws and regulations including requirements within the American Recovery and Reinvestment Act.

In addition, technical assistance and consulting services will be provided to DPI and sub-recipients upon request.

4.2 Internal Audit Process

OIA will conduct engagements of Local Education Agencies, Charter Schools and State Initiated Projects which can include universities, nonprofits and contractor/vendors. The process will encompass a review of performance and fiscal requirements.

A risk-based approach will be used to determine the type and frequency of sub-recipient engagements. OIA will conduct desk reviews and on-site visits based on risk. Risk can be based on several factors including but not limited to:
- Analytics of monthly expenditures;
- Consideration of DPI Fiscal Monitoring Section's risk assessment;
- State and Federal monitoring/audit results;
- RttT funding amounts;
- Auditor's experience with sub-recipients; and
- DPI's sub-recipient annual program progress report.

4.3 Communication and Collaboration

Communication and collaboration is very important to ensure optimal monitoring coverage. To ensure optimal coverage the following will take place:
- Monthly meetings with the DPI's RttT and Monitoring staff to ensure optimum timing for site visits.
- Periodic meetings with DPI's Internal Audit Director.
- Communication of all engagement results with DPI's RttT staff, Internal Audit Director and sub-recipients under review.

Section 5. Monitoring of State Contractors/Vendors

5.1 RttT Vendor Activity Reports and Vendor Monthly Expenditure Reports

To complete some of the initiatives in the state's Detailed Scope of Work, the state has contracted with, or will contract with, outside contractors/vendors. The NCDPI will monitor the performance of these entities through the review of the RttT Vendor Activity Reports and the Vendor Monthly Expenditure Reports. Samples of these reports can be found in Appendix D.

Appendix A: RttT Program and Fiscal Monitoring Plan

Program Monitoring

Sub-Recipient Detailed Scopes of Work (DSW)	Information from other NCDPI interactions	• Selected Technical Assistance* and/or
	Sub-Recipient Annual Program Self Assessments	• Selected On-Site Program Monitoring

Joint
Program Monitoring and Fiscal Monitoring On-Site Review

Formal
Written Report Back to Sub-Recipient within 30 Days of Visit

NCDPI will follow-up to ensure that corrective action is taken by Sub-Recipient and this information will be reported back to the appropriate monitors in NCDPI.

Fiscal Monitoring

Sub-Recipient Budgets	Monthly Desk Reviews by Financial and Business Services (FBS)	On-Site Fiscal Audit (FBS)

Informal
E-Mail, Memorandum, and/or Phone Communication with Sub-Recipient

Actions:
- Check to ensure allowable activities, budget, and alignment between the two
- Check for Issues
- Determine which Sub-Recipients require additional monitoring
- Schedule/Conduct (for selected sub-recipients):
  Technical Assistance
       Or
  On-Site Review
  (joint program and fiscal or only program or fiscal)
- Communicate findings to Sub-Recipient

*If the technical assistance by agency staff reveals major concerns about a sub-recipient, it will trigger an escalation of monitoring to an On-Site Visit.

Appendix B: Protocols (RttT LEA/Charter Progress Report)

NC RttT Initiative (Section)	Required RttT Activity ("Participating LEAs/Charters will…")	Plan/Timeline for Implementation (from DSW)	Performance Measure (Target) (from DSW)	Progress	Evidence
(A)(2) Eval Obj. 1.1	**Objective (A)(2) EVAL 1.1**: Participate in the evaluation of the RttT initiatives and use the resulting evaluation data and conclusions to improve effectiveness.				
(B)(3) Obj. 1.1	**Objective (B)(3) 1.1**: Ensure teachers and staff understand the new Standard Course of Study, including the Common Core and Essential Standards, and related assessments.				
(C)(2) Obj. 1.1	**Objective (C)(2) 1.1**: Complete a unified strategic plan for the LEA/Charter that utilizes data to determine priority goals and activities, and set targets for performance.				

NC RttT Initiative (Section)	Required RttT Activity ("Participating LEAs/Charters will…")	Plan/Timeline for Implementation (from DSW)	Performance Measure (Target) (from DSW)	Progress	Evidence
(C)(3) Obj. 1.1	**Objective (C)(3) 1.1**: Create a transition plan for schools and LEAs to begin using the online IIS for the 2012-2013 school year.				
(C)(3) Obj. 1.2	**Objective (C)(3) 1.2**: Utilize LEA/Charter and school technology funds to enhance school and LEA/Charter technology infrastructure to facilitate online real-time assessments at each school.				
(C)(3) Obj. 1.3	**Objective (C)(3) 1.3**: Designate current staff to help educators utilize EVAAS and assessment data for instructional and program decision-making.				
(C)(3) Obj. 1.4	**Objective (C)(3) 1.4**: Work as partners with DPI staff to incorporate the IIS into the daily operational aspects of school.				

NC RttT Initiative (Section)	Required RttT Activity ("Participating LEAs/Charters will…")	Plan/Timeline for Implementation (from DSW)	Performance Measure (Target) (from DSW)	Progress	Evidence
(D)(1) Obj. 1.1	**Objective (D)(1) 1.1**: Recruit individuals to teach in high-need schools in rural and urban areas utilizing school/university partnerships.				
(D)(1) Obj. 1.2	**Objective (D)(1) 1.2**: Use alternative routes to administrator and teacher certification with fidelity.				
(D)(1) Obj. 2.1	**Objective (D)(1) 2.1**: Address areas of teacher shortage.				
(D)(2) Obj. 1.1	**Objective (D)(2) 1.1**: Utilize the evaluation tool and process as a primary factor in teacher and principal development plans and decisions related to promotion, retention and removal.				
(D)(2) Obj. 1.2	**Objective (D)(2) 1.2**: Provide evaluation results to the State by submitting summary ratings.				

NC RttT Initiative (Section)	Required RttT Activity ("Participating LEAs/Charters will…")	Plan/Timeline for Implementation (from DSW)	Performance Measure (Target) (from DSW)	Progress	Evidence
(D)(2) Obj. 2.1	**Objective (D)(2) 2.1**: Integrate student growth data into teacher and principal evaluations.				
(D)(3) Obj. 1.1	**Objective (D)(3) 1.1**: Identify and select highly-qualified candidates to participate in regional leadership academies.				
(D)(3) Obj. 2.1	**Objective (D)(3) 2.1**: Recruit and increase the concentration of highly-effective teachers and leaders in high need schools.				
(D)(3) Obj. 2.2	**Objective (D)(3) 2.2**: Forecast hiring needs and use succession planning to identify candidates for school leadership positions.				
(D)(4) Obj. 2.1	**Objective D(4) 2.1**: Provide feedback for preparation, certification and alternative licensure programs.				

NC RttT Initiative (Section)	Required RttT Activity ("Participating LEAs/Charters will…")	Plan/Timeline for Implementation (from DSW)	Performance Measure (Target) (from DSW)	Progress	Evidence
(D)(4) Obj. 2.2	**Objective D(4) 2.2** : Establish communication process with regional preparation programs to strengthen programs and increase success of first-year educators.				
(D)(4) Obj. 2.3	**Objective D(4).2.3**: Establish or extend existing partnerships with North Carolina colleges and universities.				
(D)(5) Obj. 1.1	**Objective D(5) 1.1**: Provide access to effective, high-quality, job-embedded, data-informed professional development and support for educators with objectives aligned to the Race to the Top Initiatives.				
(D)(5) Obj. 1.2	**Objective D(5) 1.2**: Measure, evaluate and improve professional development and support.				

NC RttT Initiative (Section)	Required RttT Activity ("Participating LEAs/Charters will…")	Plan/Timeline for Implementation (from DSW)	Performance Measure (Target) (from DSW)	Progress	Evidence
(E)(2) Obj. 1.1	**Objective (E)(2) 1.1:** Implement one of the U.S. Department of Education's four models in each of their lowest-achieving schools: turnaround, restart, closure, or transformation.				
(E)(2) Obj. 1.2	**Objective (E)(2) 1.2**: Engage in NC Comprehensive Needs Assessment, Leadership and Instructional Coaching, Professional Development, change plan and implementation map.				

NC RttT Initiative (Section)	Required RttT Activity ("Participating LEAs/Charters will…")	Plan/Timeline for Implementation (from DSW)	Performance Measure (Target) (from DSW)	Progress	Evidence
(E)(2)Obj. 1.3	**Objective (E)(2) 1.3**: <u>Only if</u> a principal has led a lowest-achieving school for two years before Transformation division intervention without adequate progress in improving student achievement, the Districts will replace leadership, involving the Transformation division in the process.				
(E)(2)Obj. 1.4	**Objective (E)(2) 1.4:** Only if a school has made less than a 5-point increase on its performance composite after two years, the district will relinquish to the State Board oversight and control of curriculum and instruction, personnel, and budget and final decisions regarding school management and governance and/or districts recognize that the State Board will require more aggressive intervention in lowest-achieving districts and schools if the district administration does not				

NC RttT Initiative (Section)	Required RttT Activity ("Participating LEAs/Charters will…")	Plan/Timeline for Implementation (from DSW)	Performance Measure (Target) (from DSW)	Progress	Evidence
	provide sufficient leadership for and cooperation with the turnaround process.				
(E)(2) Obj. 2.1	**Objective (E)(2) 2.1:** Implement one of the U.S. Department of Education's four models in each of their lowest-achieving schools: turnaround, restart, closure, or transformation.				
(E)(2) Obj. 2.2	**Objective (E)(2) 2.2**: Engage in NC Comprehensive Needs Assessment, Leadership and Instructional Coaching, Professional Development, change plan and implementation map.				

NC RttT Initiative (Section)	Required RttT Activity ("Participating LEAs/Charters will…")	Plan/Timeline for Implementation (from DSW)	Performance Measure (Target) (from DSW)	Progress	Evidence
(E)(2) Obj. 2.3	**Objective (E)(2) 2.3**: <u>Only if</u> a principal has led a lowest-achieving school for two years before Transformation division intervention without adequate progress in improving student achievement, the Districts will replace leadership, involving the Transformation division in the process.				
(E)(2) Obj. 2.4	**Objective (E)(2) 2.4:**<u>Only if</u> a school has made less than a 5-point increase on its performance composite after two years, the district will relinquish to the State Board oversight and control of curriculum and instruction, personnel, and budget and final decisions regarding school management and governance and/or districts recognize that the State Board will require more aggressive intervention in lowest-achieving districts and schools if the district				

NC RttT Initiative (Section)	Required RttT Activity ("Participating LEAs/Charters will…")	Plan/Timeline for Implementation (from DSW)	Performance Measure (Target) (from DSW)	Progress	Evidence
	administration does not provide sufficient leadership for and cooperation with the turnaround process.				
(E)(3) Obj. 3.1	**Objective (E)(2) 3.1:** Accept placement of a district transformation coach and other coaches as mutually identified.				
(E)(3) Obj. 3.2	**Objective (E)(2) 3.2:** Engage in NC Comprehensive Needs Assessment, Leadership and Instructional Coaching, Professional Development, a collaboratively developed change plan and implementation map.				

NC RttT Initiative (Section)	Required RttT Activity ("Participating LEAs/Charters will…")	Plan/Timeline for Implementation (from DSW)	Performance Measure (Target) (from DSW)	Progress	Evidence
(E)(3) Obj. 3.3	**Objective (E)(2) 3.3:** <u>Only if</u> a principal has led a lowest-achieving school for two years before Transformation division intervention without adequate progress in improving student achievement: Districts agree to replace school leadership, involving the Transformation division in the process.				
(E)(3) Obj. 3.4	**Objective (E)(2) 3.4:** <u>Only if</u> a school has made less than a 5-point increase on its performance composite after two years: The district will relinquish to the State Board oversight and control of curriculum and instruction, personnel, and budget and final decisions regarding school management and governance and/or				

NC RttT Initiative (Section)	Required RttT Activity ("Participating LEAs/Charters will…")	Plan/Timeline for Implementation (from DSW)	Performance Measure (Target) (from DSW)	Progress	Evidence
	Districts recognize that the State Board will require more aggressive intervention in lowest-achieving districts and schools if the district administration does not provide sufficient leadership for and cooperation with the turnaround process.				
(P)(2) Obj. 1.1	**Objective (P)(2) 1.1**: Provide curriculum support in new standards and use available data to place students in the most appropriate and rigorous science and math courses.				

NC RttT Initiative (Section)	Optional RttT Activity ("Participating LEAs/Charters may…")	Plan/Timeline for Implementation (from DSW)	Performance Measure (Target) (from DSW)	Progress	Evidence

NC RttT Initiative (Section)	Optional RttT Activity ("Participating LEAs/Charters may…")	Plan/Timeline for Implementation (from DSW)	Performance Measure (Target) (from DSW)	Progress	Evidence

Appendix C: Sample of Monitoring Schedule

2011	LEA	Region	Type		2012	LEA	Region	Type
September					**January**			
					1/27/2012	District Z	1	O
October					1/10/2012	District AA	1	T
10/14/2011	District A	3	O		1/10/2012	District AB	1	S
10/14/2011	District B	3	T					
10/14/2011	District C	3	S		1/12/2012	District AC	3	O
					1/13/2012	District AD	3	T
10/13/2011	District E	5	O		1/13/2012	District AE	3	S
10/29/2011	District F	5	T					
10/29/2011	District G	5	S		1/19/2012	District AF	5	O
					1/31/2012	District AG	5	T
10/4/2011	District H	7	O		1/31/2012	District AH	5	S
10/8/2011	District I	7	T					
10/8/2011	District J	7	S		1/10/2012	District AI	7	O
					1/7/2012	District AJ	7	T
10/12/2011	District K	8	O		1/7/2012	District AK	7	S
10/15/2011	District L	8	T					
10/15/2011	District M	8	S		**February**			
					2/24/2012	District AL	1	O
November					2/21/2012	District AM	1	T
11/3/2011	District N	2	O		2/21/2012	District AN	1	S
11/4/2011	District O	2	T					
11/4/2011	District P	2	S		2/9/2012	District AO	2	O
					2/10/2012	District AP	2	T
11/17/2011	District Q	4	O		2/10/2012	District AQ	2	S
11/19/2011	District R	4	T					
11/19/2011	District S	4	S		2/2/2012	District AR	4	O
					2/4/2012	District AS	4	T
11/17/2011	District T	6	O		2/4/2012	District AT	4	S
11/19/2011	District U	6	T					
11/19/2011	District V	6	S		2/23/2012	District AU	6	O
					2/25/2012	District AV	6	T
12/7/2011	District W	8	O		2/25/2012	District AW	6	S
12/10/2011	District X	8	T					
12/10/2011	District Y	8	S		**March**			
December					**April**			

Key to Monitoring Types
O = On-site Monitoring (Dates above reflect start date. This process may take from one to three days.)
T = Technical Assistance
S = Self Evaluation

Race to the Top (RttT)Vendor Activity Report

Vendor Name:	
Contract Number:	
Contract Term:	
Reporting Period:	
Contract Amount:	

Part A: **Please describe <u>activities completed</u> during the reporting period related to the contract.**

Part B: **Please list all contract <u>deliverables met</u> for the current reporting period.**

Part C: **Please list any contract <u>deliverables that have been delayed</u> during the current reporting period. Include reasons for delays and strategies to overcome identified delays.**

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Part D: **Please list any activities related to the contract that are <u>planned for next month</u>.**

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Part E: **Were <u>subcontractors</u> used? YES___ NO___If yes, please initial the certification below.**

The contractor ensures that all subcontracts and other contracts for goods and services for an RttT funded project have the mandated provisions of the Office of Economic Recovery and Investment (OERI) Directive #3 in their contracts. Pursuant to Title XV, Section 1512 of the ARRA.

_____Initial Here

Part F: **Were there any change orders related to this contract? YES___, No___. If yes please provide a detailed list below.**

Date	No.	Description	Dollar Amount

Part G: Using attached spreadsheet; please identify the expenditures for the current month as outlined in the detailed contract budget.

Part H: By signing this document, you are attesting that all information reported is accurate and reliable to the best of your knowledge.

Signature/Title	Date

Printed Name

Race to the Top (RttT) Vendor Monthly Expenditure Report

<Enter Month & Year>

Line	Vendor Contract Budget Description *(enter vendor detailed contract budget line item description in this column)*	Budgeted $	Monthly Expenditures	% of Budgeted Expenditures	Description of Expenditure	YTD Expenditures	% of Budgeted Expenditures
1							
2							
3							
	Total						